



# Application for Financing SBA 7(a) [preliminary]

Application Date: \_\_\_\_\_

Business Development Officer: \_\_\_\_\_

How did you learn about Pathward? \_\_\_\_\_

## COMPANY INFORMATION

Legal Name: \_\_\_\_\_ Fed ID #: \_\_\_\_\_

DBA: \_\_\_\_\_ Prior Name(s) including merged entities: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ ZIP Code: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ County/Parish: \_\_\_\_\_ Website: \_\_\_\_\_

Mailing Address (if different from above): \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ ZIP Code: \_\_\_\_\_

DAILY CONTACT PERSON Name: \_\_\_\_\_ Title: \_\_\_\_\_

Phone: \_\_\_\_\_ Mobile: \_\_\_\_\_ Email: \_\_\_\_\_

BUSINESS DESCRIPTION: \_\_\_\_\_

INDUSTRY / NAICS CODE: \_\_\_\_\_ Number of Employees: \_\_\_\_\_ DUNS #: \_\_\_\_\_

FORM OF BUSINESS:  Sole Proprietor  Partnership  Limited Partnership  LLC  Corporation Date Established: \_\_\_\_\_

STATE or JURISDICTION OF INCORPORATION / ORGANIZATION: \_\_\_\_\_

OTHER LOCATIONS (attach additional sheets if necessary): \_\_\_\_\_

Business/Principals current on all taxes?:  Yes  No *If no, please explain:* \_\_\_\_\_

Bankruptcy filings (company or any principals):  Yes  No *If yes, which type(s) and date(s):* \_\_\_\_\_

Any current or prior security interests or liens, judgements, suits, criminal charges /convictions, legal proceedings, regulatory actions against company, or principals / shareholders/officers?:

Yes No  *If yes, please explain:* \_\_\_\_\_

Are all owners (including shareholders) and officers/directors U.S. Citizens, or have the legal right to be in the United States?

Yes  No *If not, please provide Photocopies of your Passport; and also your Work VISA or Permanent Resident Card (Form I-551) with this Application*

Has company been involved in a merger or acquisition within the last two (2) years?  Yes  No *If yes, please provide copy of purchase / sale agreement.*

Please provide names of all entities either owned or operated by primarily same principals for last two (2) years: \_\_\_\_\_

Does the Applicant business have any Affiliates? (20%+ ownership in another entity)  Yes  No *If yes, please list below.*

**PRINCIPALS, GUARANTORS & SHAREHOLDERS** (Attach additional sheets if necessary)

OWNERSHIP MUST TOTAL 100%

NAME (full legal):	Title:	% Ownership:	
Home Address:	City:	State:	Zip Code:
Phone:	Mobile:	County:	
Date of Birth:	Social Security #:	Email Address:	
Valid Drivers License Number and State, or Valid Passport Number:	United States Citizen?: <input type="checkbox"/> Yes <input type="checkbox"/> No	If not, provide Photocopies of your Passport; and also Work VISA or Permanent Resident Card (Form I-551)	
Do you have an interest in any other businesses? <input type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes, please explain:</i>			

NAME (full legal):	Title:	% Ownership:	
Home Address:	City:	State:	Zip Code:
Phone:	Mobile:	County:	
Date of Birth:	Social Security #:	Email Address:	
Valid Drivers License Number and State, or Valid Passport Number:	United States Citizen?: <input type="checkbox"/> Yes <input type="checkbox"/> No	If not, provide Photocopies of your Passport; and also Work VISA or Permanent Resident Card (Form I-551)	
Do you have an interest in any other businesses? <input type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes, please explain:</i>			

NAME (full legal):	Title:	% Ownership:	
Home Address:	City:	State:	Zip Code:
Phone:	Mobile:	County:	
Date of Birth:	Social Security #:	Email Address:	
Valid Drivers License Number and State, or Valid Passport Number:	United States Citizen?: <input type="checkbox"/> Yes <input type="checkbox"/> No	If not, provide Photocopies of your Passport; and also Work VISA or Permanent Resident Card (Form I-551)	
Do you have an interest in any other businesses? <input type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes, please explain:</i>			

**USE OF LOAN PROCEEDS****SOURCES**

1.	SBA Loan:
2.	Equity:
3.	
4.	
TOTAL:	TOTAL:

**DEBT SCHEDULE**

Name of Lender	Balance	Rate	Maturity	Payment/ Month	Sourced by	Copy of Note Included
1.						
2.						
3.						
4.						
5.						
TOTAL:						

**APPLICANT QUESTIONS** (Guarantors with over 20% ownership must answer 12 questions below; attach additional sheets if necessary)

Guarantor Legal Name:	Social Security #:
1. Are you presently subject to an indictment, criminal information, arraignment, or other means by which formal criminal charges are brought in any jurisdiction?	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Have you been arrested in the past six months for any criminal offense?	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. For any criminal offense – other than a minor vehicle violation – have you ever: a) been convicted; b) pleaded guilty; c) pleaded nolo contendere; d) been placed on pretrial diversion; or e) been placed on any form of parole or probation (including probation before judgement)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4. Has an application for the loan you are applying for now ever been submitted to SBA or to a Certified Development Company or lender in connection with any SBA program?	<input type="checkbox"/> Yes <input type="checkbox"/> No
5. Are you presented debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency?	<input type="checkbox"/> Yes <input type="checkbox"/> No
6. If you are at least a 50% or more owner of the applicant business, are you more than 60 days delinquent on any obligation to pay child support arising under an administrative order, court order, repayment agreement between the holder and a custodial parent, or repayment agreement between the holder and a state agency providing child support enforcement services?	<input type="checkbox"/> Yes <input type="checkbox"/> No
7. Are you a U.S. Citizen? <input type="checkbox"/> Yes <input type="checkbox"/> No Lawful Permanent Resident Alien? <input type="checkbox"/> Yes <input type="checkbox"/> No Provide Alien Registration Number:	
8. Are any of your business' products or services exported or do you plan to begin exporting as a result of this loan? If yes, provide the estimated total export sales this loan will support:	<input type="checkbox"/> Yes <input type="checkbox"/> No
9. Is your business a franchise?	<input type="checkbox"/> Yes <input type="checkbox"/> No
10. Have you, the Applicant, its Affiliates, or any business owned or controlled by you or any Associate ever obtained a direct or guaranteed loan from SBA or any other Federal agency, or been a guarantor on such a loan? (This includes student loans and disaster loans). If yes, is any of the financing currently delinquent? If yes, did any of this financing ever default and cause a loss to the Government?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
11. What is the existing number of employees currently employed by the business?	Enter number of employees here:
12. Are any of the Applicant's revenues derived from gambling; or from the sale of products or services, the presentation of any depiction, displays or live performances of a prurient sexual nature?	<input type="checkbox"/> Yes <input type="checkbox"/> No

**DOCUMENTATION TO BE PROVIDED** (Required for Conditional Approval) Check box if attached

Two (2) Forms of Identification (Government Issued ID, Driver's License, Passport):	Each Principal /Guarantor <input type="checkbox"/>
Business Tax Returns:	Three Years Prior <input type="checkbox"/>
Business Interim Financial Statements:	Within 90 days <input type="checkbox"/>
Personal Tax Returns (All Owners 20% and more):	Three Years Prior <input type="checkbox"/>
SBA Form 413 : Personal Financial Statements (All Owners 20% and more):	<input type="checkbox"/>

**I hereby certify** that all information contained in this application is correct. I hereby authorize Pathward, its subsidiaries, its designated agents or assigns to conduct any investigation it sees fit as to the creditworthiness of the company and all principals individually by utilizing any credit reporting agency as and when needed, and to file the appropriate financing statements pursuant to the Uniform Commercial Code or applicable legislation, describing the collateral as all assets of the Debtor or similar language. I understand that the contents of said investigation and any ensuing reports will be, and remain, confidential. Without limiting the generality of the foregoing, I hereby authorize Pathward, its subsidiaries, agents and assigns to use, collect and disclose the foregoing information for the purposes stated herein. Pathward will take reasonable precaution to safeguard such information to prevent it from theft, loss, or unauthorized disclosure. Pathward will keep such information for as long as necessary to provide the financing contemplated herein and in accordance with its Privacy Policy. For any questions regarding Pathward's Privacy Policy, or if I wish to rectify any information provided to Pathward, I may contact Pathward at any telephone number appearing herein.

**USA PATRIOT ACT NOTIFICATION – The following notification is being provided to you pursuant to Part 326 of the USA Patriot Act of 2001, 31 CFR 103.121(b)(5):**  
**IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT** To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account. What this means for you: When you open an account, including any deposit account, loan, lease, or extension of credit, we will ask for your name, address, date of birth, and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents.

**Sign Individually, with Title:** Please have all principals / guarantors sign below; attach additional sheets if necessary.

Signature / Title	Print Name	Date
Signature / Title	Print Name	Date
Signature / Title	Print Name	Date

**Commercial Finance / Michigan Office** 5480 Corporate Dr., Ste 350 | Troy, Michigan 48098 main phone 248.641.5100 fax 248.641.5101

**EQUAL OPPORTUNITY NOTICE:** The Federal Equal Credit Opportunity Act prohibits creditors from discriminating against credit applicants on the basis of race, color, religion, national origin, sex, marital status, age (providing the applicant has the capability to enter into a binding contract), because all or part of the applicant's income derives from any public assistance or program, or because the applicant has in good faith exercised any right under the Consumer Credit Protection Act. The federal agency that administers compliance with law concerning this creditor is: OFFICE OF THE COMPTROLLER OF THE CURRENCY (OCC) CUSTOMER ASSISTANCE GROUP, 1301 MCKINNEY ST., STE. 3450, HOUSTON, TX 77010-9050.